

**Instructions for Completing
Motor Carrier Registration and Permit Application for the Uniform Program of the
Alliance for Uniform HazMat Transportation Procedures**

General application instructions:

- The application may be submitted by mail or in person to the designated state agency in the applicant's base state. (A list of designated agencies is provided as Attachment A to the application.)
- The application should be completed by all motor carriers of hazardous materials who operate in states that administer the registration and/or permit programs for hazardous materials transporters, as indicated on the application cover page.
- The term "applicant" as used in the application refers to the company or individual seeking a registration or permit.
- The application must be completely filled out. *Do not leave any item blank.* If an item does not apply to the applicant, write "N/A" and, if appropriate, include a brief explanation.
- The application should be computer processed, typewritten, or filled out clearly and neatly with ink. Pencil will not be accepted. Illegible responses will result in your application being returned for correction.
- If the space provided on the form is not sufficient to answer any questions, attach additional sheets (in the same dimensions as the application) to the back of the application. Refer to the continuation sheet(s) on the original form.
- Remittance of all registration and/or permit fees is required at the time the application is submitted to the base state. The base state will not process the application unless all applicable fees are enclosed.
- All questions and all information requested shall be answered completely and truthfully. Fraudulent, deceptive, or misleading answers may result in denial or revocation of permit and potential initiation of enforcement activities. Applications will be returned to applicant if requested information is missing or omitted. Applicant is expected to make reasonable efforts to check his/her company records so that complete and accurate answers are provided. Falsification may subject applicant to additional penalties as provided for under state law.
- If the applicant encounters difficulty in completing the form or has any questions, please contact the base state for assistance. Correcting errors before submitting the form will greatly reduce the possibility of enforcement actions and/or delays due to return of your submittal for amendment.
- After completing all applicable sections (Parts I-III), the information must be certified by an authorized representative of the applicant in Part IV.

Identification of an Applicant's Base State

How to Determine What Type of Application to File

Determine the nature of the applicant's hazardous materials transportation activity (i.e., hazardous materials, hazardous waste, and/or radioactive materials) and the states in which it transports these materials.

The applicant must first then determine the states in which it operates and the program "level" operated by each of the states in which it operates. See Appendix A of the application for a listing of participating jurisdictions and their program level.

All applicants shall use the following procedures for determining the base state to which the applicant **MUST** submit its application for registration and/or permit under the Uniform Program.

- [1] If a motor carrier does not operate in a state that is a participating jurisdiction, the carrier is not subject to the Uniform Program and need not submit an application for a registration and/or permit..
- [2] If a motor carrier operates only in a state or states that require only the Uniform Program registration (Part I), the motor carrier's base state shall be:
 - (A) the state that is the motor carrier's principal place of business, i.e., where the applicant maintains its central records related to the transportation of hazardous materials, or
 - (B) if the state that is the motor carrier's principal place of business is not participating in the Uniform Program, the state that is a participating jurisdiction in which the motor carrier records a the most miles traveled based on the percentages report in Part I, Section 12b of the application (page A-2).
- [3] If a motor carrier operates in one or more states that require the Uniform Program permit, the motor carrier's base state shall be:
 - (A) the state that is the motor carrier's principal place of business, if such a state is a participating jurisdiction and requires the national permit; or
 - (B) if the state that is the motor carrier's principal place of business is not a participating jurisdiction or does not require the national permit, the state that is a signatory and requires the national permit in which the motor carrier records the most miles traveled.
 - (C) if the applicant transports hazardous waste in a state that requires the Part III disclosure, the applicant should **STILL** submit its application to the state identified above regardless of whether it requires Part III.. That state, if not a Part III state, will subcontract with the Part III state in which the applicant reports the most miles in Part I, Section 12b of the application.

[4] A motor carrier may request that the Governing Board approve a participating jurisdiction as the base state other than that identified by the method set above, if, and only if, the following criteria are satisfied:

- (A) such request is not based on an attempt by the motor carrier to circumvent any requirement of the Uniform Program or avoid enforcement of the program requirements by its current base state or any other participating jurisdiction;
- (B) approval of the request will improve administration of the Uniform Program; and
- (C) the Governing Board consults with the jurisdiction that would otherwise be the base state and such jurisdiction concurs with the motor carrier's request.

Part I. Registration Application

1. Provide the name of the applicant company. All motor carriers of hazardous materials who operate in a state(s) that administers the Uniform Program must apply to the base state.
- 1b. If the base state determines that the applicant has miscalculated its program fees resulting in a refund, the administering agency will need the Employer ID Number in order to issue a refund. Providing this optional information request at the time of application will expedite the refund process.
2. Provide the mailing address for the applicant.
3. Provide the street address of the location where records are kept, if different from the mailing address.
4. Provide the name of the person within the applicant company who should be contacted concerning any questions or requests for additional information regarding the Uniform Program application.
5. Provide the contact's title.
6. Provide the contact's telephone number.
7. Provide the contact's fax number.
- 8a. Provide the applicant's USDOT Motor Carrier Number as defined in 49 CFR Part 391.21.
- 8b. For intrastate carriers, provide the state identification number, if one is issued by the state motor carrier division.
- 8c. Provide the identifying number issued to the applicant by the Interstate Commerce Commission (ICC), if applicable.
- 8d. Indicate which of the above numbers is displayed on the applicant's vehicles by placing a check or "x" in the appropriate boxes..
- 9a. Provide the USDOT HazMat Registration Number issued to the applicant by the US Department of Transportation Research and Special Programs Administration. If the applicant does not carry hazardous materials of a type or quantity that requires a federal hazardous materials registration number, please put "N/A" in the space provided. [NOTE: This number changes with each annual registration. The applicant should provide the most recently issued number.]
- 9b. Provide EPA Identification Number(s), if the applicant company is required to have such number in accordance with federal requirements for transporting hazardous waste under 40 CFR 263.11. If the applicant's services does not require an EPA ID number, please put "N/A" in the space provided.

- 9c. Indicate whether the applicant company transports hazardous waste subject to the manifest requirements of 40 CFR 262.20 et. seq., or applicable state law relating to the Uniform Hazardous Waste Manifest.
- 9d. Indicate those states in which you will be transporting hazardous WASTE.
10. Provide a 24-hour phone number where the **CARRIER** may be contacted in case of an incident or emergency involving a power unit owned or operated by the applicant company. This number can include voice-mail, an answering machine, or an answering service during non-business hours. This number CANNOT be the number for a commercial emergency response telephone service such as Chemtrec.
11. Indicate the previous twelve-month period for which information in this application is provided. The applicant may use the calendar year, fiscal year, or program year (e.g., IRP registration year). If the applicant elects to change the reporting year in a subsequent application, the applicant must inform the base state of its intention.
- 12a. Applicant shall provide the average number of power units owned, leased or operated for the time period indicated in Part 1, Section 11 on page A-1. For purposes of the Uniform Program, the definition of a power unit is the same as "truck" and "truck tractor" as defined in 49 CFR 390.5. The following categories of vehicles may be excluded from the average reported.
- Vehicles that are used exclusively for the transportation of personnel, as opposed to freight, including fleet maintenance vehicles.
 - Power units that do not operate on public highways.
- 12b. Applicant shall provide the International Registration Plan (IRP) percentages (or their equivalent) for miles traveled in each state for the previous IRP reporting year. All percentages should be rounded to two decimal places (e.g., 13.247 percent should be reported as 13.25 percent) and the sum of these percentages must equal 100 percent. Spreadsheets with this information (on 8.5 x 11 inch letter-size paper) may be substituted for Section 12b, but must be referenced in Section 12b of the application. Intrastate carriers should allocate 100 percent to the state in which they operate.
- If a carrier maintains IRP mileage, it must use its IRP percentages. If the carrier maintains IFTA fuel tax reporting mileage, but not IRP mileage, it must use the IFTA percentages for this purpose. If the carrier does not maintain mileage records for either IRP or IFTA, the carrier must calculate the apportioned mileage and provide a brief explanation of the methodology used to calculate the percentages.
- 12c. Each applicant must provide the percentage of its operations that can be considered transportation of hazardous materials. The percentage of hazardous materials activity for less-than-truckload shipments shall be the weight of all hazardous materials shipments divided by the total weight of all shipments for either the last calendar year or the applicant's fiscal year. For truckload shipments, the percentage of hazardous materials activity shall be the number of placarded or marked shipments divided by the total number of shipments for the most recent 12 month period for which this information is available. A carrier that transports both less-than-truckload and

truckload shipments of hazardous materials shall calculate the percentage of hazardous materials activity on a proportional basis.

The applicant should place a check mark in the box next to the range that corresponds to the percentage of the applicant's total operations that involves the transportation of hazardous materials. Any worksheets or documentation that supports the applicant's answer to this item should be retained and are subject to review during an audit of the carrier's operations.

- 12d. Indicate the total percentage from 12c attributed *only* to hazardous waste transportation for the reporting period.
13. If the applicant owns, leases, or operates cargo tanks, please provide the average number of units for each category in the space provided. Otherwise, please put "NONE" in the space provided.
14. Mark each class and division of hazardous materials that the applicant expects to transport during the registration period covered by this application.
15. Provide the total amount of fees submitted with the application. The total should include:
 - the application processing fee,
 - registration fees for participating states (if applicable),
 - the Part II permit review fee (if applicable), and
 - the Part III permit review fee (if applicable).

To calculate the appropriate fees, each applicant **MUST USE** the Uniform Program Fee Worksheet (pages W-1 through W-4) of the application and **SUBMIT** a copy of the completed worksheet with the application.

Part II. Permit Application

Note: Questions B, D, and E may trigger a request from the base state for additional information from the applicant.

All motor carriers of hazardous materials that operate in states that require a permit under the Uniform Program must submit the application to the base state. A prerequisite to a permit application (Part II) is completion of the registration application (Part I). Methods for determining the base state are described under Part I, section A, question 7.

Section A: Corporate Structure

1. Mark the type of carriage (private or for hire) the applicant conducts. If other (e.g. government agency), please explain.
2. Mark the type of business structure of the applicant. If your type of business is not listed, mark "other" and explain.
- 3a. Provide the number of years the applicant has been in the business as a commercial motor carrier under the current name.
- 3b. Provide the number of years the applicant has transported hazardous materials under the current name.

Section B: Permits Withdrawn, denied, Suspended, or Revoked

Indicate yes or no. If yes, list and explain any hazardous materials transportation registration/permit/licenses held by the applicant in the last three years that have been withdrawn, denied, suspended, or revoked. For each event, provide

- the action taken,
- the reason for that action,
- date of the action,
- jurisdiction/agency taking action,
- the type of permit or registration involved, and
- any reinstatement of same registration/permit/license.

This information should be provided as Attachment II.B to the application.

(A "yes" answer with an inadequate explanation will trigger a request to the applicant for more detailed information about the circumstances in question. The base state also will contact the jurisdiction(s) that took the action(s) to determine whether the deficiencies that precipitated the action have been resolved.)

Section C: USDOT Safety Rating

1. Provide the applicant's most recent USDOT Safety Rating issued by FHWA Office of Motor Carriers.

NOTE: Before submitting an application, the Alliance recommends that an applicant obtain a copy of its carrier safety profile (CSP) and, if necessary, attach a listing of any discrepancies in the report to the application. You can obtain your CSP by contacting:

Computing Technologies, Inc.
OMC Data Dissemination Program
Post Office Box 3248
Merrifield, VA 22116-3248
703/280-4001

The charge for each carrier profile is \$27.50. Be sure to provide the name, address and USDOT Motor Carrier Census Number.

NOTE: Any change in the applicant's safety rating, while a Uniform Program permit is in effect, must be reported immediately to the base state.

Section D: History of Applicant's Major Violations Related to the Transportation of Hazardous Materials

1. Indicate yes or no. If yes, list federal, state and local fines over \$1,000 that the applicant has been assessed or paid for hazardous materials transportation violations in the last three years, including pending violations. Include all hazardous waste transportation violations.

For each violation, provide the requested information.

Date of assessment
Issuing agency
Type of violation
Type of hazardous material involved
Final agency assessment

This information should be provided as Attachment II.D.1 to this application.

Persons completing the application should check with company officials knowledgeable about such fines and violations to ensure full and acceptable disclosure. (Any violations may trigger a request for additional information, including but not limited to interviews with the jurisdictions that imposed fines and interviews with appropriate company officials.)

2. Indicate yes or no. If applicant has been fined or convicted in last three years for transporting hazardous materials without a license, permit, registration, or similar type of credential, please provide the following information.

Date of fine/conviction
Issuing agency
Type of violation
Type of hazardous materials involved

This information should be provided as Attachment II.D.2 to this application.

(A "yes" answer may trigger a request for more detailed information on convictions and penalties. The base state may interview representatives of the jurisdictions that discovered the violation to gain details.)

3. Answer yes or no as to whether the applicant's parent company, any subsidiary and/or corporate officer or director of the parent or any subsidiary has been convicted, assessed, paid or otherwise found culpable in legal proceedings related to hazardous materials transportation at the federal, state, tribal or local level in the last three years. If yes, provide the requested information for each conviction, fine, or assessment.

Fines/penalties/judgments levied
Date of the action
Nature of the violation
Cause or reason for the action, and
Remedial action taken to mitigate the situation, if any.

Provide this information as Attachment II.D.3 to the application.

(The base state may request documentation of such legal proceedings from the applicant, if appropriate.)

Section E: Reportable Hazardous Materials Transportation Incidents

Indicate yes or no. If yes, provide the requested information for each instance in which the applicant was involved in an incident involving hazardous materials related to the information asked on this section of the application.

For each incident, reportable under 49 CFR 171.15(a)(1), provide the following information.

Date
Location
Cause of the incident
Details of the remediation process
Agency that supervised the remediation

Provide this information as Attachment II.E to the application.

(An inadequate explanation will trigger a request for additional information about such incidents. The base state may contact the jurisdiction where the incident(s) occurred for more information. The base state may ask for a copy of the applicant's emergency response plan and details of its hazardous materials employee training program.)

Section F: Terminals

List the number of and address of all applicable terminals owned and operated by the applicant.

For purposes of the Uniform Program, "terminal" is defined as:

A facility owned, leased or operated by the applicant where:

- (1) Applicant's motor vehicles used to transport hazardous materials are loaded, unloaded or dispatched incidental to transportation;
- (2) Applicant's motor vehicles used to transport hazardous materials are cleaned, maintained or inspected;
- (3) Applicant's motor vehicles used to transport hazardous materials are fueled or repowered;

- (4) Applicant stores hazardous materials incidental to transportation; or
- (5) Applicant maintains records related to the transport of hazardous materials including vehicle maintenance files and hours-of-service records.

Certifications:

EACH CERTIFICATION SHOULD BE SEPARATELY INITIALED IN THE BOX TO THE LEFT OF THE CERTIFICATION BY THE APPROPRIATE OFFICIAL OF THE APPLICANT COMPANY. All information in the permit, including the certifications, is subject to verification through a desk or on-site audit. If all information is not found to be true and accurate, this will be grounds for withholding, suspending, or revoking the permit. If for any reason a certification does not apply to your business please initial the certification any way.

Section G: Inspections

Periodic inspections are required by USDOT as outlined in 49 CFR 396.17. This certification ensures that all vehicles owned and/or operated by the applicant have been inspected in the past year and that documentation of the inspection is on file.

Section H: Financial Responsibility

1. Financial responsibility for transporting hazardous materials is required by USDOT in 49 CFR 387. This certification guarantees that the applicant will maintain the proper insurance policies, surety bonds, or other types of financial responsibility at all times and has the appropriate MCS-82 and/or MCS-90 forms on file.
2. Provide the location (street address, city, state) where the MCS-82 or MCS-90 form is on file.
3. For each policy provide a copy of the MCS-90. *A PERMITTED CARRIER MUST NOTIFY THE BASE STATE IMMEDIATELY IF ANY POLICY LISTED IN THE APPLICATION IS CANCELED WITHOUT BEING REPLACED BY SIMILAR OR HIGHER COVERAGE.*

Section I: Other Certifications (ALL CERTIFICATION MUST BE INITIALED IN THE BOX TO THE LEFT OF THE CERTIFICATION.)

1. This certification ensures that all applicant drivers maintain a current Commercial Driver's License (CDL) with all applicable endorsements subject to 49 CFR 383.
2. This certification assures that the applicant observes all bulk packaging regulations required by the USDOT, found in 49 CFR 100-180, inclusive. *If this certification does not apply to the carrier's operations, please indicate by putting "n/a" in the initial block. If, however, at a later date, the applicant does transport materials in bulk, the permitted carrier must provide an amended set of certifications including this item.*
3. This certification guarantees that the applicant keeps an emergency response plan on file. The emergency response plan must be in compliance with OSHA 29 CFR 1910.120(q) regulations.
4. This certification affirms that the applicant is aware of state routing regulations and instructs its drivers on the appropriate routes and requirements.

5. This certification guarantees that all applicable employees have been fully trained to deal with hazardous materials as outlined in 49 CFR 172 subpart H and 177.816.
6. This certification guarantees that the applicant is aware of shipping paper requirements under 49 USC 5110(e).
7. This certification guarantees the applicant maintains records pertaining to hours of service required under 49 CFR 395.8 and is in compliance with the hours of service regulations under 49 CFR 395.

Part III. Additional Information Required from Motor Carriers of Hazardous Waste

If the applicant transports manifested hazardous waste in a state that administers Part III of the Uniform Program, the applicant must provide the information requested in Sections A-G.

Section A. Incorporation

Please provide the date and place of incorporation pertaining to the applicant's current corporation filing. If the applicant is not a corporation, please indicate by putting "n/a" in response to both requests.

To assist the base state with its review of the application, the applicant **MUST** submit a table of organization showing the applicant's position relative to its parent company and any U.S. subsidiaries. If this question does not apply to the applicant's corporation (i.e., the firm is a single entity), please write "n/a" next to this item.

Each applicant must provide a staff organization chart which indicates each individual that the applicant believes is subject to the information requirements in Part III, Section C (page A-9). The chart should indicate the individual's name, title, division (if applicable), and the line of authority.

The table of organization and the staffing chart should be provided as Attachment III.A to the application.

Note: There is no longer a general requirement for financial information. If, however, in the course of an application review, the base state determines that the availability of financial information will aid in the application review, the base state may request this information covering a period of not more than the past three years.

Section B. Facilities Owned and Operated

For each applicable facility, provide the following information.

Facility Name
Address
EPA/State ID#
Principal Business
Regulatory Agency
Permits, Licenses, Registrations Held or Applied For

This information should be provided as Attachment III.B to the application.

Section C. Identification of Key Management Personnel

For each applicable person employed by the applicant, provide the following information.

Full Name
Date of Birth
Driver's License Number
All Aliases

This information should be provided as Attachment III.C to the application.

If the applicant has any questions as to the applicability of this section to an employee, please contact the base state for clarification.

NOTE: There is no longer a fingerprint requirement for key management personnel. However, if during the initial background investigation of any individual raises questions as to his/her identity, the states may request fingerprint cards for those individuals only.

Section D. Permits Held

Please provide the following information for each state hazardous materials registration, permit, license or similar type of credential held in the last three years.

Issuing Jurisdiction

Current or Most Recent Registration/Permit/Credential Identification Number

Years Held

Type of Material to Which the Registration/Permit/Credential Applies

HM = Hazardous Materials
HW = Hazardous Wastes
RAM = Radioactive Materials

This information may be entered directly on the application form or may be provided as Attachment III.D to this application.

NOTE: The applicant's response to this data request is compared to the states for which the applicant reports IRP mileage in Part I, Section 12b (page A-2). To aid in the base state's review, the applicant should, as part of this attachment, provide a list of states with IRP mileage in which the applicant DOES NOT transport hazardous materials, hazardous waste, or radioactive materials.

Section E. Related Business Concerns

Provide the requested information for each of the five (5) categories listed in Section E. This information should be provided as Attachment III.E to the application.

If there are questions concerning the applicability of this data request to any firm or individual, please contact the base state for clarification.

Section F. Legal Proceedings

This information request applies to:

- the applicant business;
- any key management personnel identified in Part III, Section C; or
- any North American parent, affiliate, or subsidiary company.

This information should be provided as Attachment III.F to the application.

If there are questions concerning the applicability of this data request to any firm or individual, please contact the base state for clarification.

Section G. Changes

The Part III permit issued by the base state is effective for three years unless notified otherwise by the base state. The applicant must still file an annual registration application with the base state and pay the appropriate fees.

A motor carrier transporting hazardous waste under a Part III credential does not have to report any changes in its operations with the following exceptions.

If there is a lapse in insurance coverage (i.e., the policies reported in Part II, Section H have expired AND have not been replaced by equal or higher coverage), this lack of coverage must be reported to the base state IMMEDIATELY.

Within 90 calendar days, the motor carrier must report any changes in majority ownership of the credentialed company.

Within 90 calendar days, the motor carrier must report any new convictions, associated with crimes covered under Part III, Section F—Legal Proceedings, against the applicant firm or any of the applicant's key management personnel.

This information should be submitted to the applicant's base state administering agency listed in Appendix A of this application.

Part IV. General Application Certifications

The application must be signed by an official of the applicant company, authorized to certify applications for registrations and permits. The authorized signatory provides the base state with the following assurances.

- The applicant acknowledges that any information contained in the application may be verified through an audit of the carriers records and/or operations. The base state, at its option, may perform a desk audit by requesting specific information from the carrier or may conduct an on-site audit.
- The applicant certifies that, to the best of its knowledge and after due investigation, the information contained in this application is true, correct, and complete.
- For an applicant that holds a valid three-year permit and is submitting the annual registration information and associated registration fees, the applicant certifies that there is no change in the applicant's operations (e.g., a Part II permitted carrier has begun to transport hazardous waste in a Part III state) that would require the carrier to amend its Part II or Part III application.